

08/13/99  
Jc675 U.S. PTO

Please type a plus sign (+) inside this box [+]

PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42390.P6623

Total Pages 2

First Named Inventor or Application Identifier Qing Ma

Express Mail Label No. EL034433028US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. X Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. X Specification (Total Pages 20)  
(preferred arrangement set forth below)
  - Cover Sheet
  - Descriptive Title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
3. X Drawings(s) (35 USC 113) (Total Sheets 25)
4. X Oath or Declaration/Power of Attorney (Total Pages 5)
  - a. XX Unsigned
  - b.      Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed) (**Note Box 5 below**)
  - i.      DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5.      Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.      Microfiche Computer Program (Appendix)
7.      Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.      Computer Readable Copy
  - b.      Paper Copy (identical to computer copy)
  - c.      Statement verifying identity of above copies

Jc675 U.S. PTO  
09/374502  
08/13/99

## ACCOMPANYING APPLICATION PARTS

8. \_\_\_\_\_ Assignment Papers (cover sheet & documents(s))
9. \_\_\_\_\_ a. 37 CFR 3.73(b) Statement (where there is an assignee)
10. \_\_\_\_\_ English Translation Document (if applicable)
11.   X   a. Information Disclosure Statement (IDS)/PTO-1449
- X   b. Copies of IDS Citations
12. \_\_\_\_\_ Preliminary Amendment
13.   X   Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. \_\_\_\_\_ a. Small Entity Statement(s)
- b. Statement filed in prior application, Status still proper and desired
15. \_\_\_\_\_ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.   X   Other:   Certificate of Mailing (1 page in duplicate)
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation      ☐ Divisional      ☐ Continuation-in-part (CIP)  
 of prior application No: \_\_\_\_\_

### 18. Correspondence Address

\_\_\_\_\_ Customer Number or Bar Code Label \_\_\_\_\_

(Insert Customer No. or Attach Bar Code Label here)

or

  X   Correspondence Address Below

NAME   Robert G. Winkle, Reg. No. 37,474  

  BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  

ADDRESS   12400 Wilshire Boulevard  

  Seventh Floor  

CITY   Los Angeles   STATE   California   ZIP CODE   90025-1026  

Country   U.S.A.   TELEPHONE   (503) 684-6200   FAX   (503) 684-3245  

Express Mail Label:   EL034433028US  

12/01/97

- 2 -

PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032  
 Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

## FEE TRANSMITTAL

**EXPRESS MAIL NO. EL034433028US**

**Complete if Known:**

Application No. \_\_\_\_\_

Filing Date August 13, 1999

First Named Inventor Qing Ma

Group Art Unit \_\_\_\_\_

Examiner Name \_\_\_\_\_

Attorney Docket No. 42390.P6623

### METHOD OF PAYMENT (check one)

1. ☒ [ X ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name \_\_\_\_\_

- ☒ [ X ] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ [ ] Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)

2. ☒ X Payment Enclosed  
☒ X Check  
☐ Money Order  
☐ Other

### FEE CALCULATION (fees effective 10/01/97)

#### 1. FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	760	201	380	Utility application filing fee	<u>760.00</u>
106	310	206	155	Design application filing fee	_____
107	480	207	240	Plant filing fee	_____
108	760	208	380	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____
<b>SUBTOTAL (1)</b>					<b>\$ <u>760.00</u></b>

#### 2. CLAIMS

	Extra	Fee from below	Fee Paid
Total Claims <u>30</u> - 20 = <u>10</u>	X	<u>18.00</u>	= <u>180.00</u>
Independent Claims <u>3</u> - 3 = <u>0</u>	X	<u>78.00</u>	= _____
Multiple Dependent Claims _____	X	_____	= _____

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
103	22	203	11	Claims in excess of twenty	<u>180.00</u>
102	82	202	41	Independent claims in excess of 3	_____
104	270	204	135	Multiple dependent claim	_____
109	82	209	41	Reissue independent claims over original patent	_____
110	22	210	11	Reissue claims in excess of 20 and over original patent	_____
<b>SUBTOTAL (2)</b>					<b>\$ <u>180.00</u></b>

**FEE CALCULATION (continued)**
**3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>F Description</u>	<u>F Paid</u>
<u>Fee</u>	<u>Fee</u>	<u>Fee</u>	<u>F</u>		
<u>Cod</u>	<u>(\$)</u>	<u>Code</u>	<u>(\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	400	216	200	Extension for response within second month	
117	870	217	475	Extension for response within third month	
118	1,510	218	755	Extension for response within fourth month	
128	2,060	228	1,030	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,320	241	660	Petition to revive unintentionally abandoned application	
142	1,320	242	660	Utility issue fee (or reissue)	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	790	246	395	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	790	249	395	For each additional invention to be examined (see 37 CFR 1.129(a))	
Other fee (specify) _____					
Other fee (specify) _____					
SUBTOTAL (3)					\$ 0.00

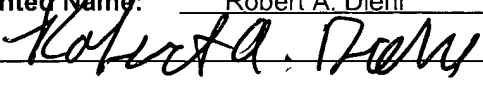
\*Reduced by Basic Filing Fee Paid

**TOTAL AMOUNT OF PAYMENT (\$)**

**\$ 940.00**

**SUBMITTED BY:**

Typed or Printed Name: Robert A. Diehl

Signature:  Date: \_\_\_\_\_

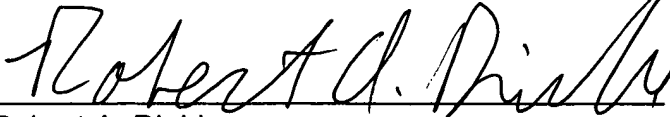
Reg. Number 40,992 Deposit Account User ID \_\_\_\_\_ (complete if applicable)

ISOLATION STRUCTURE CONFIGURATIONS FOR MODIFYING STRESSES IN  
SEMICONDUCTOR DEVICES

Inventors: Ma et al.  
Our Reference: 42390.P6623

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP



Robert A. Diehl  
Reg. No. 40,992

"Express Mail" mailing label number: EL034433028US  
Date of Deposit: August 13, 1999

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Mary E. Warinner

(Typed or printed name of person mailing paper or fee)  
Mary E. Warinner 8.13.99  
(Signature of person mailing paper or fee) (Date signed)

Serial/Patent No.: Not Yet Assigned Filing/Issue Date: August 13, 1999  
Client: INTEL CORPORATION (Ma et al.)  
Title: ISOLATION STRUCTURE CONFIGURATIONS FOR MODIFYING STRESSES IN SEMICONDUCTOR DEVICES  
BSTZ File No.: 42390.P6623 Atty/Secty Initials: MJM/RAD(RGW)/mew  
Date Mailed: August 13, 1999 Docket Due Date: \*\*\*  
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:  

<input type="checkbox"/> Amendment/Response (____ pgs.)	<input checked="" type="checkbox"/> Express Mail No.: <u>EL034433028US</u> <input checked="" type="checkbox"/> Check No. <u>6732</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> _____ Month(s) Extension of Time Amt: <u>\$940.00</u>
<input checked="" type="checkbox"/> Application - Utility ( <u>20</u> pgs., with cover and abstract)	<input checked="" type="checkbox"/> Information Disclosure Statement & PTO 140 ( <u>3</u> pgs.) <input type="checkbox"/> Check No. _____
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal Amt: _____
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input checked="" type="checkbox"/> Certificate of Mailing ( <u>1</u> page x <u>2</u> )	<input type="checkbox"/> Response to Notice of Missing Parts
<input checked="" type="checkbox"/> Declaration & POA ( <u>5</u> pgs.) ( <u>unsigned</u> )	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.)	<input checked="" type="checkbox"/> Transmittal Letter, in duplicate
<input checked="" type="checkbox"/> Drawings: <u>25</u> # of sheets includes <u>25</u> figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate

  
☒ Other: copy f 1 cited reference